

## MEMORANDUM FOR THE RECORD

SUBJECT: Personnel Files in the Department of State

SOURCES: Mr. Ralph Scarritt, Chief, and Mr. Neil Parks, Management Services Division; Mr. Fred Darnell, Chief, Performance Evaluation Branch, Office of Personnel, Department of State; interviews by C. T.

STATINTL

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1. Personnel Files:

a. Location of Official File: The only official personnel files are in the Management Services Division, Office of Personnel, which reports to the Administrator for Security, Consular Affairs and Personnel who reports to the Under Secretary for Administration. See organization chart, p. 6, HR2172, 81 Congress, Second Session.

b. Convenience Files: No convenience personnel files are recognized, but their existence is assumed by the Chief, Mgt. Services Division. To his memory, only once has a paper belonging in the official personnel files been retained in a convenience file. Operating offices do maintain OFub Card records of personnel actions. Some are not up to date.

c. Who Has Access to Official Files: Since the McCarthy committee investigation, a list of the names of people authorized to see or take official personnel file folders is maintained in the file room. This list includes the Chief, Personnel Evaluation Branch, all placement officers and top administrative and executive personnel. Secretaries of authorized personnel may obtain folders in the names of their chiefs.

Top executive and administrative personnel may call only for folders of people in their components. To obtain folders of others, they must place the request through a placement officer.

d. Contents of Official File:

(1) Civil Service Employees: Contents are prescribed by the Federal Personnel Manual.

(2) Foreign Service Officers, Foreign Service Reserve Officers and Foreign Service Staff Employees: There are two folders for each employee in these categories: an administrative folder and a performance folder.

(a) Administrative Folders:

Appointment notices  
Requests For Personnel Action, Form DR1031  
Notices of Personnel Action, Form DS1032  
Dependency Status Reports, Form FS304  
Insurance papers  
Post Preference Report, Form FS416 (the employee's statement of preference for his next assignment)  
Oaths, affidavits, etc.  
Personal History Statement, Form SF57  
Military Discharge Papers  
Civil Service Papers, if the officer was integrated (a la Wriston)  
Correspondence concerning his first appointment.  
Security Clearance Report  
Position Description (when available) of each job the employee has held.  
Payroll Change Slips  
Mass Transfer Actions (in lieu of Form DS1032)  
Correspondence concerning salary, retirement, length of service, next assignment, personal problems, credit, etc.

(b) Performance Folders:

Performance Reports  
Inspectors' Reports  
End-user Reports  
Correspondence relating to performance.  
Assignment and Training Report, Form FS473 (Used in the new career development program. The employee reports what he is doing, where he is going and what he needs to get there. Also contains an appraisal by his supervisor.)

2. Security File:

The security file is maintained by the Office of Security and is never made available to personnel officers nor to selection boards. Personnel files

certain, when necessary, references to the existence of material in the security file which may affect personnel evaluation. In such cases, the selection boards may obtain an oral report of the relevant information from the Security Office.

If an employee is under security investigation at the time a selection board is rating him, the board will not know of the fact. When the Security Office determines that an employee should not be promoted until his security investigation is completed, the Director of Personnel is so notified. He will remove the employee's name, if it appears on a list recommending promotion. When and if the employee is cleared, his name is replaced and, if he is an FSO, can be specially submitted to the President for nomination for promotion.

3. Medical File:

The medical file, maintained by the Medical Office, is also not available to personnel officers and selection boards. Personnel files contain reports of medical examinations which indicate three categories of personal health: cleared, limited or restricted. A medical officer will appear before a selection board to elaborate on restrictions to service caused by ill health. He will not name the disease or illness causing such restrictions.

4. Pre-employment Files:

The Board of Examiners maintains records of Foreign Service applicants. When an applicant is employed, his pre-employment records are placed in the official personnel file.